

J039 U.S. PTO
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02-15-01

Please type a plus sign (+) inside this box →

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 30-5022(4015)

First Inventor or Application Identifier Vladimir M. Segal

Title Methods of Forming Aluminum-Comprising Physical Vapor..

Express Mail Label No.

EL14658555145

+

02/13/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. Specification [Total Pages 34] (preferred arrangement set forth below) (INCLUDES TITLE PG.)

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

3. Drawing(s) (35 U.S.C. 113) [Total Sheets 9]

4. Oath or Declaration [Total Pages 3]

a. Newly executed (original or copy)

b. Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)

i. DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

5. Microfiche Computer Program (Appendix)

6. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

a. Computer Readable Copy

b. Paper Copy (identical to computer copy)

c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. Assignment Papers (cover sheet & document(s))

8. 37 C.F.R. § 3.73(b) Statement Power of
(when there is an assignee) Attorney

9. English Translation Document (if applicable)

10. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations

11. Preliminary Amendment

12. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

* Small Entity Statement(s) Statement filed in prior application
(PTO/SB/09-12) Status still proper and desired

13. Certified Copy of Priority Document(s)
(if foreign priority is claimed)

14. Other: Check _____

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation Divisional Continuation-in-part (CIP) of prior application No: _____ / _____
Prior application information: Examiner _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

| | | | | | |
|--|---|-----------|----------------|---|--------------------|
| <input type="checkbox"/> Customer Number or Bar Code Label / | (Insert Customer No. or Attach bar code label here) | | | or <input checked="" type="checkbox"/> Correspondence address below | |
| Name | Shannon Morris Honeywell International Inc. | | | | |
| Address | Box 2245, 101 Columbia Road | | | | |
| City | Morristown | State | NJ | Zip Code | 07962 |
| Country | | Telephone | (724) 452-1300 | | Fax (724) 452-7701 |

| | | | |
|-------------------|---|-----------------------------------|--------|
| Name (Print/Type) | David G. Latwesen, Ph.D. | Registration No. (Attorney/Agent) | 38,533 |
| Signature |  | | |
| | Date | 2/13/2001 | |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

H057-142 (DGL)

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FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.

These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$) **1,028.00**
Complete if Known

| | |
|----------------------|--------------------------|
| Application Number | FILED HEREWITH |
| Filing Date | |
| First Named Inventor | Vladimir M. Segal et al. |
| Examiner Name | |
| Group / Art Unit | |
| Attorney Docket No. | 30-5022(4015) |

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number **23-0925**

Wells, St. John et al.

Charge Any Additional Fee Required Under 37 C.F.R. §§1.16 and 1.17 Charge the Issue Fee Set in 37 C.F.R. §1.18 at the Mailing of the Notice of Allowance

2. Payment Enclosed:

Check Money Order Other

FEE CALCULATION**1. BASIC FILING FEE**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|------------------------|--------------------|
| 101 790 | 201 395 | Utility filing fee | 710.00 |
| 106 330 | 206 165 | Design filing fee | |
| 107 540 | 207 270 | Plant filing fee | |
| 108 790 | 208 395 | Reissue filing fee | |
| 114 150 | 214 75 | Provisional filing fee | |
| SUBTOTAL (1) | | | (\$) 710.00 |

2. EXTRA CLAIM FEES

| Extra Claims | Fee from below | Fee Paid |
|-----------------------------|-------------------|--------------------------|
| Total Claims 31 | -20** = 11 | X 18 = 198 |
| Independent Claims 4 | - 3** = 1 | X 80 = 80 |
| Multiple Dependent | | = 0 |

**or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|--|--------------------|
| 103 22 | 203 11 | Claims in excess of 20 | |
| 102 82 | 202 41 | Independent claims in excess of 3 | |
| 104 270 | 204 135 | Multiple dependent claim, if not paid | |
| 109 82 | 209 41 | ** Reissue independent claims over original patent | |
| 110 22 | 210 11 | ** Reissue claims in excess of 20 and over original patent | |
| SUBTOTAL (2) | | | (\$) 278.00 |

3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|------------------------------------|----------------------------|--|--------------------------------|
| 105 130 | 205 65 | Surcharge - late filing fee or oath | 0.00 |
| 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet | 0.00 |
| 139 130 | 139 130 | Non-English specification | 0.00 |
| 147 2,520 | 147 2,520 | For filing a request for reexamination | 0.00 |
| 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action | 0.00 |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | 0.00 |
| 115 110 | 215 55 | Extension for reply within first month | 0.00 |
| 116 400 | 216 200 | Extension for reply within second month | 0.00 |
| 117 950 | 217 475 | Extension for reply within third month | 0.00 |
| 118 1,510 | 218 755 | Extension for reply within fourth month | 0.00 |
| 128 2,060 | 228 1,030 | Extension for reply within fifth month | 0.00 |
| 119 310 | 219 155 | Notice of Appeal | 0.00 |
| 120 310 | 220 155 | Filing a brief in support of an appeal | 0.00 |
| 121 270 | 221 135 | Request for oral hearing | 0.00 |
| 138 1,510 | 138 1,510 | Petition to institute a public use proceeding | 0.00 |
| 140 110 | 240 55 | Petition to revive - unavoidable | 0.00 |
| 141 1,320 | 241 660 | Petition to revive - unintentional | 0.00 |
| 142 1,320 | 242 660 | Utility issue fee (or reissue) | 0.00 |
| 143 450 | 243 225 | Design issue fee | 0.00 |
| 144 670 | 244 335 | Plant issue fee | 0.00 |
| 122 130 | 122 130 | Petitions to the Commissioner | 0.00 |
| 123 50 | 123 50 | Petitions related to provisional applications | 0.00 |
| 126 240 | 126 240 | Submission of Information Disclosure Stmt | 0.00 |
| 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) | 40.00 |
| 146 790 | 246 395 | Filing a submission after final rejection (37 CFR 1.129(a)) | 0.00 |
| 149 790 | 249 395 | For each additional invention to be examined (37 CFR 1.129(b)) | 0.00 |
| Other fee (specify) _____ | | | 0.00 |
| Other fee (specify) _____ | | | 0.00 |
| * Reduced by Basic Filing Fee Paid | | | SUBTOTAL (3) (\$) 40.00 |

SUBMITTED BY

| | | |
|-----------------------|---|---------------------------|
| Typed or Printed Name | David G. Latwesen, Ph.D. | Complete (if applicable) |
| Signature |  | Reg. Number 38,533 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.